

FILED  
U.S. DISTRICT COURT  
DISTRICT OF NEW MEXICO

2014 NOV -7 PM 3:27

IN THE UNITED STATES DISTRICT COURT

CLERK-LAS CRUCES

FOR THE DISTRICT OF NEW MEXICO

SECURITIES AND EXCHANGE  
COMMISSION,

Plaintiff,

v.

No. 09-cv-1021 SMV/LAM

CHARLES R. KOKESH,

Defendant.

**REDACTED**  
VERDICT FORM

1. Do you find, by a preponderance of the evidence, that Defendant Charles R. Kokesh aided and abetted violations of Section 206(1) of the Investment Advisers Act?

☒             
Yes

☐             
No

2. Do you find, by a preponderance of the evidence, that Defendant Charles R. Kokesh aided and abetted violations of Section 206(2) of the Investment Advisers Act?

☒             
Yes

☐             
No

3. Do you find, by a preponderance of the evidence, that Defendant Charles R. Kokesh aided and abetted violations of Section 13(a) of the Exchange Act and Exchange Act Rules 12b-20, 13a-1, and 13a-13?

☒             
Yes

☐             
No

